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| FORM PTO-1390<br>(REV. 10-2003)   |  | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE |  | ATTORNEY'S DOCKET NUMBER<br><b>39.049</b>                          |  |
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>         DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>         CONCERNING A FILING UNDER 35 U.S.C. 371</b>   |  |   |  | U.S. APPLICATION NO. (If known, see 37 CFR 1.5<br><b>10/506492</b> |  |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/JP2003/015563</b>   |  | INTERNATIONAL FILING DATE<br><b>12/04/2003</b>          |  | PRIORITY DATE CLAIMED<br><b>12/16/2002</b>                         |  |
| TITLE OF INVENTION<br><b>Optical Fiber Capped at End With Diffractive Film, and Manufacturing Method Therefor</b>   |  |   |  |  |  |
| APPLICANT(S) FOR DO/EO/US<br><b>Toshihiko Ushiro, Soichiro Okubo and Takashi Matsuura</b>   |  |   |  |  |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |  |  |  |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute's specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20. <input type="checkbox"/> Other items or information:</li> </ol> |  |   |  |  |  |

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|--|--------------|--------------|------------|--|----------|----|--------|--|
| <div style="display: flex; justify-content: space-between;"> <div> U.S. APPLICATION NO. (if known, see 37 CFR 1.131)<br/> <b>10/506492</b><br/> PCT/JP2003/015563 </div> <div> INTERNATIONAL APPLICATION NO.<br/> PCT/JP2003/015563 </div> </div>  |              |              |            | ATTORNEY'S DOCKET NUMBER<br><b>39.049</b>  |          |    |        |  |
| 21. <input checked="" type="checkbox"/> The following fees are submitted:<br><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b><br>Neither international preliminary examination fee (37 CFR 1.482)<br>nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO<br>and International Search Report not prepared by the EPO or JPO ..... <b>\$1080.00</b><br><br>International preliminary examination fee (37 CFR 1.482) not paid to<br>USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$920.00</b><br><br>International preliminary examination fee (37 CFR 1.482) not paid to USPTO<br>but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$770.00</b><br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$730.00</b><br><br>International preliminary examination fee (37 CFR 1.482) paid to USPTO<br>and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b><br><br><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> |              |              |            | <b>CALCULATIONS PTO USE ONLY</b><br><br><br><br><br><br><br><br><br><br><table style="width: 100%; border: none;"> <tr> <td style="width: 60%; border: none;">\$</td> <td style="width: 20%; border: none; text-align: center;">920.00</td> <td style="width: 20%; border: none;"></td> </tr> </table> |          | \$ | 920.00 |  |
| \$   | 920.00       |              |            |  |          |    |        |  |
| Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than 30 months<br>from the earliest claimed priority date (37 CFR 1.492(e)).   |              |              |            | <table style="width: 100%; border: none;"> <tr> <td style="width: 60%; border: none;">\$</td> <td style="width: 20%; border: none;"></td> <td style="width: 20%; border: none;"></td> </tr> </table>   |          | \$ |        |  |
| \$   |              |              |            |  |          |    |        |  |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA | RATE       | \$   |          |    |        |  |
| Total claims   | 18 - 20 =    | 0            | x \$18.00  | \$   |          |    |        |  |
| Independent claims   | 2 - 3 =      | 0            | x \$86.00  | \$   |          |    |        |  |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |              | + \$290.00 | \$   | 290.00   |    |        |  |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |              |            | \$   | 1,210.00 |    |        |  |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above<br>are reduced by 1/2.  |              |              |            | \$   |          |    |        |  |
| <b>SUBTOTAL =</b>  |              |              |            | \$   |          |    |        |  |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months<br>from the earliest claimed priority date (37 CFR 1.492(f)).  |              |              |            | \$   |          |    |        |  |
| <b>TOTAL NATIONAL FEE =</b>  |              |              |            | \$   |          |    |        |  |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be<br>accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +   |              |              |            | \$   | 40.00    |    |        |  |
| <b>TOTAL FEES ENCLOSED =</b>   |              |              |            | \$   | 1,250.00 |    |        |  |
|  |              |              |            | Amount to be<br>refunded:  | \$       |    |        |  |
|  |              |              |            | charged:   | \$       |    |        |  |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.<br><br>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.<br>A duplicate copy of this sheet is enclosed.<br><br>c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any<br>overpayment to Deposit Account No. _____. A duplicate copy of this sheet is enclosed.<br><br>d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card<br/> information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.   |              |              |            |  |          |    |        |  |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)<br>or (b)) must be filed and granted to restore the application to pending status.  |              |              |            |  |          |    |        |  |
| SEND ALL CORRESPONDENCE TO:  |              |              |            |  |          |    |        |  |
| <div style="border: 1px solid black; padding: 5px; display: inline-block;"> Customer Number </div>   |              | <b>29453</b> |            |  |          |    |        |  |
| <div style="display: flex; align-items: center;"> <div> SIGNATURE<br/> <b>James W. Judge</b><br/> NAME </div> </div>   |              |              |            | <b>42,701</b><br>REGISTRATION NUMBER   |          |    |        |  |